

# 2002 Governor's Performance Excellence Assessment Program

## HANDBOOK



*"Moving Maryland Forward –To Performance Excellence"*

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## Section I

### Introduction

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#### Overview

This handbook was prepared by the Governor's Criteria Committee in an effort to provide step-by-step instructions for preparing an application for recognition through the Maryland State Governor's Performance Excellence Assessment Program. This handbook was created as a guidance document only, and in no way guarantees a particular level of recognition.

#### How to Use the Worksheets

Each section of the handbook includes a template for preparation of a particular section of the application. Included in each section, is a Worksheet. The Worksheets are designed to capture key information in the collection, assembly and reporting of data pertinent to the application. The Worksheet is to be used as a checklist to ensure that all key questions or issues are addressed. **The Worksheets can then be used as a quick reference when completing the application.**

#### References:

2002 Governor's Performance Excellence Assessment Program, "Criteria for State Organizations"

"How to Interpret the Baldrige Criteria for Performance Excellence" by Mark Graham Brown, Eleventh Edition covers 2002 criteria.

"The Pocket Guide to the Baldrige Criteria" by Mark Graham Brown, Ninth Edition



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## **Section II**

### **Template 1**

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#### **The Decision Process**

Template 1 is an analysis of the benefits and risks associated with applying through the Maryland State Governor's Performance Excellence Program. The Worksheet should be completed by the decision-makers within the organization to determine whether or not the organization will make a commitment to submit an application.

Once a decision has been made to start the application process, the next step is to determine which option will be utilized. There are three main routes for application preparation, which include: 1) Self-Assessment, 2) Peer Assessment and 3) Recognition Assessment.

#### **Self-Assessment (Internal Review)**

Self-assessment may be undertaken at any time. It may be accomplished as a purely internal process, with the assistance of the Center for Continuous Quality Improvement or through the use of a consultant.

Objective self-assessment should be a regular part of any organization's measurement of progress toward performance excellence. The process does not require adherence to a mandated timetable or payment of fees. It may, or may not, involve a written application. Self-assessment provides its greatest benefits when it becomes an integral part of the organization's culture.

Self-Assessment provides many benefits to an organization. Participants gain a disciplined approach for identifying their strengths and areas for improvement. They are better equipped to target key performance gaps, set priorities for improvement and introduce new and better ways to work with customers, partners and suppliers.

#### **Peer Assessment (Peer Review)**

Peer assessment is a more formalized process. Application must be completed and submitted by **September 19, 2002**. At the request of an organization (using the Intent to Participate Form), the Center for Continuous Quality Improvement will create a team of qualified trained individuals from Maryland government organizations, under the direction of a trained Examiner. This team will review the application submitted by the participating organization, provide written feedback and a one-on-one feedback session. The application for peer assessment will meet the same requirements and be in the same format as required for the recognition process (see GPEAP Criteria for State Organizations, section titled, "Application Information").



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## **Section II**

### **Template 1**

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Organizations participating in the peer assessment process need not meet the eligibility requirements for implementing Performance Excellence, and are not required to comply with the recognition process timetable. However, they are strongly encouraged to attend the one-day, pre-application training workshop held each year. Participating organizations will be charged a fee.

Peer assessment will provide participating organizations with more objectivity than a self-assessment, as well as a shared experience and a more formal review without the structure or pressure of the recognition process. This may be the ideal first step for organizations that anticipate seeking recognition for their achievements in performance excellence in future years.

### **Recognition Assessment (Examiners Review)**

The recognition assessment process is the most structured of the assessment methods. It requires the review of an application and a possible site visit by a team of Examiners established by the Center for Continuous Quality Improvement. Deadlines, fees and a substantial investment of time are clearly a part of this process. The requirements are described fully in the “Criteria for State Organizations” booklet.

### **Benefit Assessment**

The next section requires a review and assessment of the benefits associated with preparing an application.

The time involved in the preparation of an application is well spent, particularly in the process of developing a plan to collect, assemble, and report the data used to support the application. This process gives the organization the tools to see how well integrated the strategic plan is with the resulting outcomes. When the organization can express this integration with clarity, they have the foundation to improve their current process to get more measurable results.

The staff required to execute the plan - to collect the data and assemble and edit the application, is most likely already involved in this process during their daily activities. A successful application process, is one that orchestrates the data gathering. An analogy would be, you’ve already got the orchestra, now you need a conductor.



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## **Section II**

### **Template 1**

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The cost of staff-hours (in-house or out-of-house) can be viewed as the equivalent of an insurance premium. A review of this type - a complete systematic evolution of an organization's business practices, will help leadership understand the integration of the strategic plan and the business results. The more effective the organization is in achieving its plan for business results, the more likely the organization is to be in a position to obtain more resources.

### **Risk Assessment**

Along with the benefits, there are also some risks that should be considered. Risks include: time, personnel and budget considerations, and project conflicts.

The time required to develop the overall plan to collect, assemble, and report the data used to support the application, needs to be assessed.

Personnel resources and effort will be required to collect the data and to assemble and edit the application.

A budget, which includes the number of current employee staff-hours and/or consultants' time, will need to be developed.

And finally, the other projects in process during this time period may suffer because of the additional effort being put forth during the application process.

All of these risks need to be carefully assessed and plans to address each risk need to be developed.

### **Internal Examiner**

Independent of the type of assessment chosen by an organization, all organizations should consider the participation of members of their staff in the program as internal Examiners. Internal Examiners participate in the program training and actual review and assessment of an application. This allows them to become very familiar with the process and are able to report what they have learned as an Examiner back to their own organization. This has proven to strengthen the participant's understanding of the Governor's Performance Excellence Assessment Program.



## Section II

### Worksheet 1

Page 1 of 1	Worksheet #1
Governor's Performance Excellence Assessment Program	
The Decision Process	
<p><b>Step 1</b> - Are we going to apply?</p> <p><input type="checkbox"/> YES</p> <p><input type="checkbox"/> NO</p> <p>NOTES:</p>	
<p><b>Step 2</b> - If YES, Which of the following options will be utilized?</p> <p><input type="checkbox"/> Self-Assessment (Internal Review)</p> <p><input type="checkbox"/> Peer Assessment (Peer Review)</p> <p><input type="checkbox"/> Recognition Assessment (Examiners Review)</p> <p>NOTES:</p>	
<p><b>Step 3</b> - Benefit Assessment</p>	
<p><b>Step 4</b> - Risk Assessment:</p>	
<p><b>Step 5</b> - Are members of the staff going to participate in the program as internal Examiners and learn about the Baldrige process?</p> <p><input type="checkbox"/> YES</p> <p><input type="checkbox"/> NO</p> <p>If YES, list name(s) of the employee(s):</p> <p>Name: _____</p> <p>Name: _____</p>	



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## Section III

### Template 2

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#### **The Strategic Plan**

Template 2 is used to develop the Strategic Plan to collect, assemble and report the data used to support the application. There are four natural phases of this process. Individuals or working groups may carry out each phase. The phases are:

- The Planning Phase
- Data Gathering
- Writing Style
- Editorial Process

#### **The Planning Phase**

The Planning Phase encompasses the activities needed to organize and complete the process. Activities that occur during this process include:

##### ***Check Background Information***

Gather previous applications and feedback reports from the same and similar organizations. These provide insight into previous strengths and opportunities for improvement.

##### ***Meet with Team Members***

Assemble the members of the organization who will be responsible for the application process. An organization may decide to have one point person to orchestrate the efforts. Another organization may choose to use a team based approach and divide the parts of the application among team members.

##### ***Gather Resources***

Correlate sections of the application with criteria resources such as “How to Interpret the Baldrige Criteria for Performance Excellence” by Mark Graham Brown (a.k.a. The Brown Book). This is the most appropriate guideline to give applicants insight into how to present their application. The book contains a chapter for each of the seven application categories. It also contains guidance on preparing for a site visit and how to use the process as a business assessment tool. Many successful applicants provide copies of the appropriate sections to each of the team members responsible for the application process.





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## Section III

### Template 2

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Correlate with Maryland's Managing For Results (MFR) program. A review of the organization's MFR plan, and an analysis of where those measures fit into the Performance Excellence criteria, can be a paper exercise done prior to writing the application. Many of the initiatives of MFR will have a link with the first six categories. Overlap with the outcome of MFR and Criteria for Business Results (section 7.0) of the application is likely.

Correlate with Maryland's Performance Planning and Evaluation Program (PEP). As with MFR, outcomes of PEP may have an overlap with any of the seven categories. A paper review of these items, and a plan to address them in the application, is a tool for application success.

#### ***Make Decisions***

Make decisions regarding the use of text and graphics in the body of the application. A limited number of pages are allowed in the criteria. By negotiating a storyboard of how much space is likely to be devoted to a category, team members can focus their efforts on writing clear and concise text and graphics.

### **Data Gathering**

Data Gathering is the process used to find appropriate information to support each section of the application. There is no prescribed way to complete this process. Here are three examples of how Level 1 organizations have done this in the past:

- Single Data Gathering
- Central Data Gathering
- Integrated Data Gathering

#### ***Single Data Gathering***

This method involves the use of a point person to gather all the data and write the first draft of the application.

*Benefit:* There is a single source of information.

*Risk:* This can be burdensome on the individual and may be the only "job" they have for the duration of the application process.

#### ***Central Data Gathering***

This method uses a core team (minimum number) of data gatherers and small category specific teams to write individual sections. A core team would develop the production process. Small category specific teams would be developed to deal with individual sections. The written sections would then be sent to the core team for overall assembly.



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## Section III

### Template 2

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The core team would redraft the first “complete” application. Then, the completed application may be read by all of the section team members or by another small team for final editing.

*Benefit:* This process is less burdensome on any one individual. Breaking the application into sections can help the process seem less overwhelming. The team approach fosters communication. The more eyes reviewing the final draft, the more likely they are to catch errors.

*Risk:* This method involves more than a single individual. A successful outcome is dependent of a sound production plan. Frequent communication between the core team and individual sub-teams will be necessary.

#### ***Integrated Team Gathering***

This method entails the use of a large number of team members, cross-functional and cross disciplinary, to produce the document. This is like the Central Data Gathering process with many more people involved. Large teams are developed for each category. Timelines and deliverables are assigned. Frequent meetings (*e.g.* once a week) of sub-teams, and all teams to report progress, are scheduled.

*Benefit:* This process establishes accountability and provides a “united we stand, divided we fall” kind of atmosphere. It also provides a lot of potential editing options.

*Risk:* This process involves a large number of resources that may have a tendency to “write too much”.

## Writing Style

Writing style is characterized by which voice is used to present the data. This type of application lends itself to first or third party voice. The use of “I” or the use of “we” should be consistent throughout the document. Decisions about margins, fonts, presentation of graphics, photos, black & white vs. color, etc., are all part of the style of the application. Efforts placed on addressing the application questions rather than “glossy details” will strengthen the application.

## Editorial Process

The editorial process is the final step before submitting the application. A separate template to guide the editorial process is provided. Elements to consider in the strategic plan for editing include:

- Who will publish the completed document?
- Who will provide graphics support?
- What are the logistics for file management?



## Section III Worksheet 2

Page 1 of 4

Worksheet #2

### Governor's Performance Excellence Assessment Program Strategic Plan

#### *The Planning Phase*

- ☐ Check Background Information

NOTES:

- ☐ Meet with Application Team Members

NOTES:

- ☐ Gather Information

- ☐ Determine Criteria Resources to be Used:

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NOTES:

- ☐ Review MRF Plan

NOTES:

- ☐ Review PEP Plan

NOTES:

- ☐ Determine Amount of space required for each Category

NOTES:



## Section III Worksheet 2

Page 2 of 4

### Worksheet #2 Governor's Performance Excellence Assessment Program Strategic Plan

#### ***Data Gathering***

☐ Determine Process to be used for Data Gathering:

☐ Single Data Gathering

Coordinator: \_\_\_\_\_

☐ Central Data Gathering

Core Team Members: \_\_\_\_\_

\_\_\_\_\_

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Category Specific Team Members:

Category Assigned:

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☐ Integrated Team Gathering  
Team Members:

Category Assigned:

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☐ Other: \_\_\_\_\_

NOTES:



## Section III Worksheet 2

Page 3 of 4

Worksheet #2

**Governor's Performance Excellence Assessment Program  
Strategic Plan**

### *Writing Style*

☐ Determine Format Styles

☐ Font: \_\_\_\_\_

NOTES:

☐ Margins (must be a minimum 3/4" left and right): \_\_\_\_\_

NOTES:

☐ Presentation of Graphics: \_\_\_\_\_

NOTES:

☐ Photos: \_\_\_\_\_

NOTES:

☐ Presentation of Application

☐ Black & White

☐ Color

NOTES:

### *Language (Point of View)*

☐ First Person

☐ Third Person

☐ Other: \_\_\_\_\_

NOTES:



## Section III

### Worksheet 2

Page 4 of 4

Worksheet #2

**Governor's Performance Excellence Assessment Program  
Strategic Plan**

*Editorial Process (See also Worksheet #4)*

☐ Who will publish the completed document? \_\_\_\_\_

NOTES:

☐ Who will provide graphics support? \_\_\_\_\_

NOTES:

☐ What will be the logistics for file management?

NOTES:

NOTES:



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## Section IV

### Template 3

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## Preparing the Organizational Profile

One of the most important components of the application is the Organizational Profile. It is strongly recommended that the Organizational Profile be prepared first, and that it be used as a guide in self-assessment and in writing and reviewing your application.

The Organizational Profile is an outline of your business. It should address what is most important to the organization, key influences on how the organization operates, and where the organization is headed. *The Organizational Profile is a statement of what is relevant and important to your organization and its performance.*

The Organizational Profile is critically important because:

- It is the most appropriate starting point for self-assessment and for writing an application. It helps you focus on key business performance requirements and business results; and
- It is used by the Examiners and Judges in all stages of application review and during the site visit.

The Organizational Profile consists of:

### **P.1 Organizational Description**

**Describe your organization's business environment and your key relationships with customers, suppliers, and other partners.**

Within your response, include answers to the following questions:

#### **a. Organizational Environment**

- What are your organization's main products and/or services? Include a description of how they are delivered to customers.
- What is your organizational context/culture? Include your purpose, vision, mission, and values, as appropriate.
- What is your employee profile? Include educational levels, workforce and job diversity, bargaining units, use of contract employees, and special safety requirements, as appropriate.
- What are your major technologies, equipment, and facilities?
- What is the regulatory environment under which your organization operates? Include occupational health and safety regulations; accreditation requirements; and environmental, financial, and product regulations.



## Section IV Template 3

### b. Organizational Relationships

(1) What are your key customer groups and/or market segments? What are their key requirements for your products and services? Include how these requirements differ among customer groups and/or market segments, as appropriate.

(2) What are your most important types of suppliers and dealers and your most important supply chain requirements? What are your key supplier and customer partnering relationships and communication mechanisms?

#### Notes:

**N1.** Customer group and market segment requirements (P.1b[1]) might include on-time delivery, low defect levels, price reductions, electronic communication, and after-sales service.

**N2.** Communication mechanisms (P.1b[2]) should be two-way and might be in person, electronic, by telephone, and/or written. For many organizations, these mechanisms might be changing.

Item notes serve three purposes: (1) to clarify terms or requirements presented in Items, (2) to give instructions on responding to the Criteria Item requirements, and (3) to indicate key linkages to other Items. In all cases, the intent is to help you respond to the Item requirements.

## P.2 Organizational Challenges

**Describe your organization's competitive environment, your key strategic challenges, and your system for performance improvement.**

Within your response, include answers to the following questions:

### a. Competitive Environment

- What is your competitive position? Include your relative size and growth in your industry and the numbers and types of your competitors.
- What are the principal factors that determine your success relative to your competitors? Include any changes taking place that affect your competitive situation.

### b. Strategic Challenges

What are your key strategic challenges? Include operational, human resource, business, and global challenges, as appropriate.

### c. Performance Improvement System

How do you maintain an organizational focus on performance improvement? Include your approach to systematic evaluation and improvement of key processes and to fostering organizational learning and knowledge sharing.





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## Section IV

### Template 3

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#### NOTES:

**N1.** Factors (P.2a[2]) might include differentiators such as price leadership, design services, e-services, geographic proximity, and warranty and product options.

**N2.** Challenges (P.2b) might include electronic communication with businesses and end-use consumers, reduced product introduction cycle times, mergers and acquisitions, global marketing and competition, customer retention, staff retention, and value chain integration.

**N3.** Performance improvement (P.2c) is an assessment dimension used in the Scoring System to evaluate the maturity of organizational approaches and deployment. This question is intended to help you and the Baldrige Examiners set a context for your approach to performance improvement.

#### Importance of Your Organizational Profile

Your Organizational Profile is critically important because:

- it is the most appropriate starting point for self-assessment and for writing an application;
- it helps you identify potential gaps in key information and focus on key performance requirements and business results;
- it is used by the Examiners and Judges in all stages of application review, including the site visit, to understand your organization and what you consider important; and
- it also may be used by itself for an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that your assessment need go no further and you can use these topics for action planning.

#### Page Limit

For applicants, the Organizational Profile is limited to three (3) pages. These are counted in the overall application page limit of thirty-three (33) pages. Typing instructions for the Organizational Profile are the same as for the remainder of the application. These instructions are given in the Introduction section of this document.



## Section IV

### Worksheet 3

Page 1 of 3

Worksheet #3

#### Governor's Performance Excellence Assessment Program Organizational Profile

##### *P.1 Organizational Description*

Products and Services: \_\_\_\_\_

How are they delivered to customers? \_\_\_\_\_

##### *Organizational Environment*

Organizational context/culture:

Purpose

Vision

Mission

Values

Employee Profile:

- ☐ Education Levels
- ☐ Workforce and Job Diversity
- ☐ Bargaining Units
- ☐ Contract Employees
- ☐ Special Safety Requirements



## Section IV Worksheet 3

Page 2 of 3

Worksheet #3

### Governor's Performance Excellence Assessment Program Organizational Profile

Major Equipment:

Major Facilities:

Major Technologies:

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What is the regulatory environment under which your organization operates?

- ☐ Occupational Safety and Health Regulations
- ☐ Accreditation Requirements
- ☐ Environment
- ☐ Financial
- ☐ Product Regulations

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#### b. Organizational Relationships

What are your key customer and/or market segments?

- ☐ What are their key requirements for your products and services?
- ☐ How do their requirements differ among customer groups and/or market segments?

What are your most important types of suppliers and dealers and your most important supply chain requirements?

- ☐ What are your key suppliers and customer partnering relationships and communication mechanisms?



## Section IV Worksheet 3

Page 3 of 3

Worksheet #3

### Governor's Performance Excellence Assessment Program Organizational Profile

#### P.2 Organizational Challenges

##### a. Competitive Environment

- ☐ What is your competitive position? Include your relative size and growth in your industry and the number and types of your competitors.
- ☐ What are the key factors that determine your success relative to your competitors? Include any changes taking place that affect your competitive situation.

##### b. Strategic Challenges

- ☐ What are your key strategic challenges?
  - ☐ Operational:
  - ☐ Human Resources:
  - ☐ Business:
  - ☐ Global Challenges:

##### c. Performance Improvement System

- ☐ How do you maintain an organizational focus on performance improvement?
  - ☐ What is your approach to systematic evaluation of improvement of key processes?
  - ☐ What is your approach to fostering organizational learning and knowledge sharing?



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## Section V

### Template 4

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#### Writing the Report

The process of writing the report depends upon which model of data gathering is being used. Elements to consider in completing the report include:

- Graphics Presentations
- Consistent Language (Point of View)
- Common Theme Throughout the Application
  - Has the organization picked an example to present in all of the seven categories? If so, how is that example presented? Will it be well understood by someone who is not familiar with the details of the organization?
- Organizational Strengths
  - Does the report highlight the strengths of the organization?
- Organizational Improvements
  - Does the report acknowledge the areas for improvement of the organization?
- Feedback
  - Does the report correlate the feedback from previous years with outcome of this year's report?
- Independent Review
  - Has an independent party read the draft of the completed report? Is the language clear to an outside non-organization party?



## Section V

### Worksheet 4

Page 1 of 2

Worksheet #4

Governor's Performance Excellence Assessment Program  
Writing the Report

#### *Graphics Presentation*

NOTES:

#### *Consistent Language (Point of View)*

☐ First Person

☐ Third Person

Is the language consistent throughout the document? (see page 9)

NOTES:

#### *Common Theme*

Theme: \_\_\_\_\_

Category 1 Example:

Category 2 Example:

Category 3 Example:

Category 4 Example:

Category 5 Example:

Category 6 Example:

Category 7 Example:



## Section V Worksheet 4

Page 2 of 2

Worksheet #4

Governor's Performance Excellence Assessment Program

Writing the Report

*Organizational Strengths to be Included*

*Areas for Improvement to be Included*

*Feedback from Previous Applications to be Included*

***Independent Review***

To be performed by: \_\_\_\_\_

Date to be performed: \_\_\_\_\_

NOTES:



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## Section VI

### Template 5

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#### Editing the Report

Editing the report is the final step before submitting the application. The plan for preparing the application should have an allocated timeframe for editing. Elements to consider in editing the report should include:

- Review, bullet by bullet, each section of the criteria and evaluate each answer for clarity and concise language. Ensure that the language is consistent throughout the document.
- Ensure that each question has been answered.
- Review charts and graphs for clear labeling. Ensure that the graphics address the criteria issue.
- Ensure that the Strategic Plan correlates to the organization's stated Goals and Objectives, and that they are carried through to the Results.
- Ensure that all typographical errors have been corrected.
- Ensure that the application is presented in a readable font size.
- Ensure that the margins are consistent from page to page.
- Make sure that the application can be easily read.
- If extra pages are available, determine whether or not you want to use them and how.

While these editorial items may seem trivial, it is essential that the report be error free. Errors, inconsistencies, and confusing data, make the review of the application cumbersome, which will be reflected in the overall scoring.





## Section VI

### Worksheet 5

Page 1 of 2

Worksheet #5

Governor's Performance Excellence Assessment Program

Editing the Report

*During the Final Editing Process, ensure that the following elements have been addressed:*

- ☐ Review of each section of the criteria; evaluate each answer to ensure the communication of clear, concise and consistent language.

NOTES:

- ☐ Ensure that each criteria question has been answered.

NOTES:

- ☐ Review Charts and Graphs for clear labeling.
- ☐ Ensure that graphics address the appropriate issues.

NOTES:

- ☐ Ensure that the Strategic Plan correlates to the organization's Goals and Objectives.
- ☐ Ensure that the Strategic Plan carries through to the Results.

NOTES:

- ☐ Ensure that all Typographical Errors have been corrected.

NOTES:



## Section VI Worksheet 5

Page 2 of 2

Worksheet #5

### Governor's Performance Excellence Assessment Program Editing the Report

- ☐ Ensure that the application is presented in a readable font size (12 point font or larger)

NOTES:

- ☐ Ensure that margins are consistent from page to page (minimum 3/4" left and right)

NOTES:

- ☐ Ensure that the application is easily read.

NOTES:

- ☐ Note if there are extra pages; should they be used?

☐ YES

☐ NO

If YES, How?

OTHER:



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## Section VII

### Template 6

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#### Site Visits

Any organization that applies for recognition may be eligible for a site visit. Site visits are performed by internal or external volunteer Examiners. The purpose of a site visit can be broken down into five focal areas. They are:

- Opportunity to provide a thorough assessment of the organization by talking with its personnel and examining its systems and approaches.
- Opportunity to collect information so that the Examiners' interpretation of the application can be clarified and verified.
- Opportunity to look for positive aspects that may not have been addressed in the application.
- Opportunity to identify areas for improvement in organizational systems that may not be as effective as they appeared in the written application.
- Opportunity to identify the extent to which systematic processes have been implemented or deployed.

Elements to consider in preparing for a site visit include:

- Is there a theme to the site visit questions presented by the Examiners? Do the questions:
  - Focus on information that is difficult to assess from reading the application?
  - Focus on issues that cut across more than one category?
  - Attempt to verify something that is a major theme in the organization's strategy?
  - Attempt to verify the deployment of innovative or impressive approaches?
- Does the organization have a program that can address all/most of these site questions?
- How are you going to answer these questions?
  - Interactive
  - Lecture
  - Anticipate extra questions
  - Plan to do less
  - Plan vs. reality
  - Use of a facilitator
  - Have a plan to modify the day



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### Section VII

#### Template 6

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- Logistics of the site visit
  - Time
  - Agenda
  - Food - dietary preferences
  - Restrooms
  - Phone/Fax
  - Safety Attire
  - Organization momentos/marketing items
- Making adjustments during the day
  - Plan vs. Reality. Does the agenda have flexibility to accommodate “new” questions by the Examiners? Is there a plan for inclement weather? What if the Examiners don’t show?
  - What can the organization do prior to the site visit to clearly understand the expectations of the Examiners? Does the agenda call for an opening discussion that verifies the site’s understanding of the Examiners’ expectations?
  - What is the Examiners’ point of view? Does the agenda have time for the Examiners to “restate” their expectations?
  - Does the agenda have room for discussion of all the site visit questions or did the organization focus on “some” or “many” of the questions? How is this first communicated to Examiners?



## Section VII

### Worksheet 6

Page 1 of 3

Worksheet #6

#### Governor's Performance Excellence Assessment Program Site Visits

**Step 1** – Is there a theme to the site visit questions presented by the Examiners?

☐ YES

☐ NO

If YES, Describe:

If NO, How will this be addressed?

NOTES:

**Step 2** - Does the organization have a program that can address all/most of these site visit questions?

☐ YES

☐ NO

If YES, Describe:

If NO, How can this be developed?

NOTES:



## Section VII

### Worksheet 6

Page 2 of 3

Worksheet #6

#### Governor's Performance Excellence Assessment Program Site Visits

**Step 3** – How are the questions going to be addressed? (Check all that apply and describe how they will be used.)

- ☐ Interactive
- ☐ Lecture
- ☐ Anticipate extra questions
- ☐ Plan to do less
- ☐ Plan vs. Reality
- ☐ Use of a facilitator
- ☐ Have a plan to modify the day

NOTES:



## Section VII

### Worksheet 6

Page 3 of 3

Worksheet #6

#### Governor's Performance Excellence Assessment Program Site Visits

**Step 4** – Logistics of the Visit (Check all that apply and describe how they will be used)

- ☐ Time
- ☐ Agenda
- ☐ Food – dietary preferences
- ☐ Phone/Fax
- ☐ Safety Attire
- ☐ Examiner Conference Area
- ☐ Organization Mementos/Marketing Items

NOTES:

**Step 5** – Making adjustments during the day

- ☐ Plan vs. Reality
- ☐ More expectations from Examiners
- ☐ What is the Examiner's point of view?
- ☐ Site visit questions

NOTES:



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## Section VIII

### Template 7

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#### Feedback Report Format

The written Feedback Report is the mechanism by which the applicants receive the assessment by the Examiners regarding strengths and opportunities for improvement, relative to the requirements of the criteria. The Feedback Report will be prepared by the Examiners and forwarded to the Center for Continuous Quality Improvement. They in turn will forward it to the applicant organization.

The Feedback Report will contain at least seven sections, one for each category. Strengths and Opportunities for Improvement will be presented for each general category. The individual items in the categories have been augmented with the following descriptors:

- |                 |   |
|-----------------|---|
| Early Stage:    | The response to the item may show the beginning of a systematic approach to the basic purposes of the item, but major gaps exist in the deployment that would inhibit progress.   |
| Maturing Stage: | The response to the item shows a sound, systematic approach to at least the basic purposes of the item. The approach is deployed, although some areas or work units may be in the early stages of deployment. There is at least the beginning of a systematic approach to evaluation and improvement of the basic item processes. |
| Advanced Stage: | The response to the item shows a sound, systematic approach, responsive to the overall purpose of the item. The approach is well deployed, although deployment may vary in some areas or work units. A fact-based, systematic evaluation and improvement process is in place for basic item.                                      |

The organization is invited to request a meeting with the Examiners through the Center for Continuous Quality Improvement. This meeting would be an opportunity for the organization to obtain feedback from the Examiners' observations and gain more insight into the Examiners' evaluation of the organization's operations.





## Section VIII

### Worksheet 7

Page 1 of 1	Worksheet #7
Governor's Performance Excellence Assessment Program Feedback Report Format	
(Repeat template for each of the seven categories) Category (1-7) <i>Restate the category.</i>	
Strengths - <i>Summarize Examiners' overall analysis.</i>	
Opportunities for Improvement - <i>Summarize Examiners' overall analysis.</i>	
Section analysis – <i>Summarize Examiners' analysis of each section and determine if the section is in the Early, Maturing or Advanced stage.</i>	



## Section IX Template 8

### Data Gathering Between Government Programs

Additional initiatives in Maryland State Government may have natural overlap with the Governor's Performance Excellence Assessment Program. The following table and worksheet can help an organization determine when this overlap occurs. Two additional guidelines are attached to help organizations evaluate the value of participating in the assessment process. They are provided as "memory joggers" and are useful tools when an organization is making decisions on assembling data to support the application.

Criteria Section	Maryland Managing For Results (MFR)	Maryland Performance Planning and Evaluation Program (PEP) Program
1.0 Leadership	Organization-wide Mission, Vision and Values, and Guiding principles	Individual responsibility to Organization-wide Mission, Vision and Values, and Guiding principles
2.0 Strategic Planning	Overall Strategic Plan, organization expectations expressed as strategic Goals and Objectives	Links the performance expectations for an individual with the performance expectations for the organization, as well as the performance expectations for programs or processes for which that individual is responsible
3.0 Customer & Market Focus	Identification of Organization's internal/external customers, and their (measurable) needs	Data that individuals can provide to the organization to illustrate how needs are being addressed
4.0 Information and Analysis	Data generated as MFR measures that support organization's goals and objectives	Individual performance against those goals and objectives
5.0 Human Resource Focus	MFR measures used to determine effectiveness of human resource performance	Feedback given by individuals. This data used to determine the effectiveness of human resource measures. Training is included in this section.



## Section IX Template 8

Criteria Section	Maryland Managing For Results (MFR)	Maryland Performance Planning and Evaluation Program (PEP) Program
6.0 Process Management	Measurable of what “work” the organization does	Results that individuals contribute to completing the “work”
7.0 Business Results	Outcome of the measures. What portion of the goals and objectives were planned to be completed. What portion of the goals and objective actually got completed? Significance of the difference of planned vs. completed activities	Outcome of the measures. What portion of the goals and objectives were planned to be completed. What portion of the goals and objectives actually got completed? Significance of the difference of planned vs. completed activities
Other	Trends and benchmarks over years of data	Trends and benchmarks over years of data

Budget issues are not necessarily addressed as individual items in these guidances. According to the 1997 edition of the Maryland Managing for Results Guidebook, budgeting is an integral component of the planning process.

Strategic planning charts direction and allows for setting of priorities. Budgeting provides resources to implement the plan. Operating budgets are used to set financial targets and continuously provide resource information. The internal/external assessment component of the planning process should be used in identifying trends, and strategic issues to support budget development. In the end, cost alone should not be the major issue. Government must consider what returns there are on its investments, and whether there is effective use of resources. Knowing the results (degree of success) of programs is key to making budget decisions. **Also, well conceived plans, with missions and goals that emphasize accomplishment of meaningful results in a constrained fiscal environment, provide strong justification for allocation of resources.**



## Section IX

### Worksheet 8

Page 1 of 1	Worksheet #8 Governor's Performance Excellence Assessment Program Data Gathering Between Government Programs
Criteria Section - <i>List section of criteria being reviewed</i>	
MFR Measurements - <i>List MFR measurements that may be linked to this criteria section</i>	
PEP Measurements - <i>List PEP measurements that may be linked to this criteria section</i>	
Results/Budgetary Outcome - <i>How would the results of the outcome be illustrated?</i> <i>Examples: More satisfied customers, as measured by more compliments/less complaints.</i> <i>Will this be displayed graphically, identifying the planned goal and the outcome?</i>	



## Section X

### Guideline 1

## GUIDELINE TO AID IN THE DECISION TO EVALUATE AN ORGANIZATION WITH BALDRIGE BASED PERFORMANCE CRITERIA

Question: Can you explain how the Baldrige Criteria are a roadmap for a better organization?

Answer: The Baldrige criteria have become the world's most widely accepted model for running an effective business. The criteria cover almost everything that impacts on running a successful organization. The best way to understand this is to list some very basic factors that a successful organization must consider, and to identify where these factors are addressed in the Baldrige criteria.

The following is an excerpt from "The Pocket Guide to the Baldrige Award Criteria" by Mark Graham Brown, Eighth Edition, p. 11-13. (Copies are available from the Governor's Quality Council and the Center for Continuous Quality Improvement.)

What Successful Organizations Do	Corresponding Baldrige Item
Identify and segment customers, define wants and needs	3.1 Customer and Market Knowledge
Establish mission and direction; define key business drivers; develop leadership process to guide organization.	1.1 Organizational Leadership 2.2 Strategy Deployment
Develop goals and strategies based on thorough analysis.	2.1 Strategy Development 2.2 Strategy Deployment
Identify key performance measures based on company strategy.	3.2 Customer Relationships and Satisfaction 4.1 Measurement and Analysis of Organizational Performance 4.2 Information Management
Review performance of all key measures, including: financial, operational, supplier performance, customer satisfaction, and employee satisfaction.	1.1 Organizational Leadership 7.1 Customer Focused Results 7.2 Financial and Market Results 7.3 Human Resource Results 7.4 Organizational Effectiveness Results



## Section X

### Guideline 1

What Successful Organizations Do	Corresponding Baldrige Item
Design high quality products/services that meet current and future customer needs.	6.1 Product and Service Processes
Design jobs and organizations to promote high performance from employees; train and motivate employees to continuously delight customers.	5.1 Work Systems 5.2 Employee Education, Training, and Development 5.3 Employee Well-Being and Satisfaction
Define, control, and continuously improve key processes.	6.1 Product and Service Processes 6.2 Business Processes
Work with suppliers and vendors to ensure consistent high quality goods and services	6.3 Support Processes
Manage customer relationships to maintain high level of satisfaction on an ongoing basis.	3.2 Customer Relationships and Satisfaction
Exhibit good corporate citizenship; perform well in areas of public health, environment, and ethics.	1.2 Public Responsibility and Citizenship
Demonstrate excellent trends and levels in all result areas.	7.1 Customer-Focused Results 7.2 Financial and Market Results 7.3 Human Resource Results 7.4 Organizational Effectiveness Results



## Section XI Guideline 2

### **GUIDELINE TO AID IN THE SELECTION OF DATA AN ORGANIZATION WOULD INCLUDE IN A PERFORMANCE BASED APPLICATION**

The following is an excerpt from “The Pocket Guide to the Baldrige Award Criteria” by Mark Graham Brown, Eighth Edition, p. 17 - 55. Copies are available from the Center for Continuous Quality Improvement.

Corresponding Baldrige Item	What Successful Organizations Do
1.1 Organizational Leadership	<ul style="list-style-type: none"><li>• Build a strong leadership team that is not dependent on any one individual.</li><li>• Executives regularly spend time with employees, customers, and other key stakeholders.</li><li>• Create a strong culture and ensure that values are followed as the company grows and changes.</li><li>• Consistently and honestly communicate with employees about company matters.</li><li>• Regularly review company performance and actually use these data to plan and make major business decisions.</li><li>• Continually look for future opportunities to improve/expand company performance.</li></ul>
1.2 Public Responsibility and Citizenship	<ul style="list-style-type: none"><li>• Set stretch goals to improve performance in areas of public health and environmental protection.</li><li>• Go beyond mandated performance levels in public safety, environmental, and other areas of regulation.</li><li>• Allocate significant resources for activities that relate to corporate citizenship and support of educational, community, charity, and professional organizations.</li><li>• Allow employees time on the job to support professional and community organizations.</li><li>• Link corporate citizenship efforts to marketing plans and company image.</li><li>• Become known for supporting one or two causes.</li></ul>



## Section XI

### Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
2.1 Strategy Development	<ul style="list-style-type: none"><li>• Complete a thorough situation analysis that looks at company strengths, weaknesses, opportunities, and threats.</li><li>• Write annual operating and longer-term strategic plans in a 1 to 2 month time period with minimal drafts.</li><li>• Focus the planning process on strategic thinking rather than creating a binder.</li><li>• Develop a clear vision and identify key success factors and objectives or goals to become a leader in its industry.</li><li>• Link goals to customer requirements, competitor strategies, and assessments of organizational strengths and weaknesses.</li></ul>
2.2 Strategy Deployment	<ul style="list-style-type: none"><li>• Identify key success factors that differentiate your organization from key competitors.</li><li>• Set measurable targets for each measure of performance, based upon relevant data (e.g., competitors, resources, customer needs, etc.).</li><li>• Define specific strategies or action plans for hitting targets.</li><li>• Communicate plans to all levels of employees and partners so they understand their role in helping the organization achieve its vision.</li><li>• Adapt or change targets and strategies quickly as the business environment changes.</li><li>• Predict how achievement of targets will change the organization's position in the marketplace over the next 2 to 5 years.</li></ul>
3.1 Customer and Market Knowledge	<ul style="list-style-type: none"><li>• Clearly identify customers and segment them by market, geography, or other categories.</li><li>• Use a variety of methods to identify customer requirements and priorities.</li><li>• Continuously evaluate and improve methods to determine customer requirements.</li><li>• Conduct research to identify potential future markets/customers and their needs.</li><li>• Identify the requirements of potential customers or customers of competitors.</li></ul>





## Section XI

### Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
3.2 Customer Relationships and Satisfaction	<ul style="list-style-type: none"><li>• Hire the best and brightest customer contact people, pay them well, thoroughly train them, and give them the authority to solve customer problems without checking with management.</li><li>• Define measurable service standards and measure performance against them.</li><li>• Provide toll-free helplines or conveniences to make it easy to get information.</li><li>• Track all complaints, no matter how minor, and quickly resolve complaints.</li><li>• Accumulate information on customers in a central database so that this intelligence can be used to drive improvement.</li><li>• Collect a good mix of hard and soft measures of customer satisfaction.</li><li>• Define customer satisfaction levels compared to key competitors and industry averages.</li><li>• Focus on measuring value and loyalty as well as customer satisfaction.</li><li>• Employ a systematic approach to building loyalty from the most valued customers.</li></ul>
4.1 Measurement and Analysis of Organizational Performance	<ul style="list-style-type: none"><li>• Develop measures linked to their vision or strategy, as well as overall mission.</li><li>• Keep the number of metrics that any manager or executive reviews to no more than 20.</li><li>• Include a balance of measures that focus on the past, present and future, and that relate to the needs of shareholders/owners, customers, and employees.</li><li>• Collect a wide variety of data on key competitors and other comparative organizations.</li><li>• Conduct research to identify links or correlations between leading and lagging metrics on the company dashboard.</li><li>• Spend as much time focusing on measures that lead to future success as on metrics that depict past and present performance.</li></ul>



## Section XI

### Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
4.2 Information Management	<ul style="list-style-type: none"><li>• Communicate up-to-date performance data using consistent graphics and formats across the company.</li><li>• Use the best custom-designed or packaged scorecard software on the market to communicate performance data.</li><li>• Make use of company intranet sites or other appropriate methods to communicate real-time performance data to all necessary personnel.</li><li>• Standardize data collection and reporting methods to ensure consistency and data integrity.</li><li>• Regularly evaluate and improve software and hardware used for data collection, reporting, and analysis.</li></ul>
5.1 Work Systems	<ul style="list-style-type: none"><li>• Design job and organizational structures to promote cooperation, initiative, and behavior consistent with the values or culture of the company.</li><li>• Make use of innovative and effective recognition and compensation programs to drive loyalty and high performance from employees.</li><li>• Thoroughly screen potential new hires and candidates for promotions for appropriate knowledge/skills, as well as values that are consistent with the culture.</li><li>• Design and implement efficient and objective systems for performance feedback and management.</li><li>• Tailor company HR systems and practices to the culture and mission of the organization, rather than implementing each new management fad that comes along.</li></ul>
5.2 Employee Education, Training, and Development	<ul style="list-style-type: none"><li>• Invest up to 5% of payroll costs in training each year.</li><li>• Perform systematic needs analysis to determine training needs for all employees.</li><li>• Develop curriculums for all key functions/positions.</li><li>• Match training media and delivery methods to content and audience characteristics.</li><li>• Deliver training just-in-time fashion and plan follow-up activities to ensure skills learned in training are used on the job.</li></ul>



## Section XI

### Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
5.2 <i>Employee Education, Training, and Development (Continued)</i>	<ul style="list-style-type: none"><li>• Evaluate training based on trainee reaction, learning, behavioral change, and job performance improvement.</li><li>• Continually improve training on the basis of feedback.</li></ul>
5.3 Employee Well-Being and Satisfaction	<ul style="list-style-type: none"><li>• Focus on delighting employees rather than simply satisfying them.</li><li>• Establish goals for safety and employee satisfaction based on world-class companies.</li><li>• Implement a prevention-based approach to safety and employee health.</li><li>• Offer pay, benefits, and special services that are better than others in the industry and geographic area.</li><li>• Frequently collect data on a wide variety of measures of employee satisfaction.</li><li>• Communicate that personal/family lives are more important or just as important as work.</li><li>• Establish systems for building and maintaining a loyal work force.</li></ul>
6.1 Product and Service Processes	<ul style="list-style-type: none"><li>• Design new products and services on the basis of current and projected future customer requirements and priorities.</li><li>• Involve a wide variety of disciplines or departments in the design process.</li><li>• Define key processes and process measures on the basis of customer requirements.</li><li>• Define and implement strategies to keep each process measure in control.</li><li>• Use a variety of sources of information to proactively look for ways of improving processes.</li><li>• Link process improvement initiatives to strategic plans.</li></ul>
6.2 Business Processes	<ul style="list-style-type: none"><li>• Document key business processes and identify the important performance requirements for each.</li><li>• Identify process and output measures and standards for each key business process, and link these measures and standards back to stake-holder requirements.</li><li>• Establish and implement process monitoring and control techniques.</li><li>• Evaluate and improve business processes where appropriate and beneficial.</li></ul>



## Section XI Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
(6.2 <i>Business Processes Continued</i> )	<ul style="list-style-type: none"> <li>Carefully select and manage relationships with suppliers and partners that perform vital roles or supply crucial materials.</li> </ul>
6.3 Support Processes	<ul style="list-style-type: none"> <li>Thoroughly define requirements for all suppliers/partners and regularly measure how well they meet requirements.</li> <li>Reduce the overall number of suppliers to companies with proven track records.</li> <li>Cease reliance on inspection of incoming supplier materials and rely more on suppliers to inspect their own products.</li> <li>Require suppliers/partners to implement the basics of the Baldrige criteria and help them by providing training and coaching.</li> <li>Establish long-term partnering relationships with key suppliers/partners who have proven they can meet or exceed your requirements.</li> </ul>
7.1 Customer-Focused Results	<ul style="list-style-type: none"> <li>Customer satisfaction data are segmented by market or customer type, as appropriate, and all graphs show excellent improvement trends.</li> <li>No graphs of customer-focused results show flat or declining performance, and any dips in performance are satisfactorily explained.</li> <li>All major indicators of customer dissatisfaction show declines over the past five or more years, as well as overall excellent levels of performance.</li> <li>Trends over the past three or more years show continuous improvement in hard measures of customer satisfaction, and internal quality measures.</li> <li>Levels of performance on hard measures of customer satisfaction show the best performance in the industry on almost all graphs, and benchmark or world-class levels of performance on several graphs.</li> </ul>
7.2 Financial and Market Results	<ul style="list-style-type: none"> <li>Key financial and market results for five or more years show a trend of progressive improvement.</li> <li>Profits show a level of performance that is at or above the best companies in the industry.</li> <li>The company has clear cause-effect data that show that the investments in improvement initiatives have paid off on the bottom line.</li> </ul>



## Section XI

### Guideline 2

Corresponding Baldrige Item	What Successful Organizations Do
7.2 <i>Financial and Market Results</i> (Continued)	<ul style="list-style-type: none"><li>• Market and financial measures show benchmark levels of performance, or at least a continuous improvement trend, over five or more years.</li><li>• No graphs of market or financial indicators show performance to be flat or getting worse over the past few years.</li><li>• Dips in performance are thoroughly analyzed and the factors causing these drops in performance are corrected.</li></ul>
7.3 Human Resource Results	<ul style="list-style-type: none"><li>• Safety results show that impressive improvement trends and/or levels of performance are superior to industry averages and competitors.</li><li>• Measures of employee satisfaction indicate that the company “delights” its employees.</li><li>• Hard measures of employee satisfaction such as absenteeism and voluntary turnover show improving trends and levels above those of competitors.</li><li>• No human resource performance measures show declining trends or levels that are inferior to industry averages or major competitors.</li><li>• Results are presented for all key human resource measures identified in section 5.0.</li></ul>
7.4 Organizational Effectiveness Results	<ul style="list-style-type: none"><li>• Results are presented for all key performance measures for which results are not presented earlier.</li><li>• Productivity and cycle time both show impressive levels and improvement trends.</li><li>• Data on important process measures show improvements and high levels.</li><li>• Most graphs should show company performance to be better than all or most key competitors.</li><li>• No data are missing on important measures of operational performance.</li><li>• Strong improvement trends in the performance of the company’s major suppliers and partners are evident over the past few years.</li><li>• Suppliers’ level of performance compare favorably to those of competitors’ and benchmark organizations’ suppliers.</li></ul>



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## Section XI

### Guideline 2

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Corresponding Baldrige Item	What Successful Organizations Do
7.4 <i>Organizational Effectiveness Results</i> (Continued)	<ul style="list-style-type: none"><li>• The company has shown a reduction over the past few years in the overall number of suppliers that it buys goods and services from.</li><li>• Data is presented for most major suppliers—those to which the company spends the most money.</li></ul>